

DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY MATERIEL COMMAND  
5001 EISENHOWER AVENUE, ALEXANDRIA, VA 22333-0001

AMC PAMPHLET  
No. 70-28

30 June 1997

Administration

ADVANCE PLANNING BRIEFINGS FOR INDUSTRY  
AND OTHER COMMUNICATIONS MEDIA

Local limited supplementation of this pamphlet is permitted, but is not required. If supplements are issued, activities will furnish the final draft for approval and one copy of the published supplement to HQ AMC, ATTN: AMCRDA-AI-TILO, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001.

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1. **Purpose.** a. This pamphlet describes appropriate methods for providing advance planning information to industry and prescribes U.S. Army Materiel Command (AMC) policy, assigns responsibility, and provides procedural guidance for conducting Advance Planning Briefings for Industry (APBI). This policy implements AMC's unequivocal preference for early, open, and meaningful dialogue with industry on a fair and equitable basis to foster a mutual understanding of future contract requirements and industry capabilities.

b. When implemented these policies will facilitate timely, productive communication with industry consistent with applicable laws and regulations.

\*This pamphlet supersedes AMC-C 1-4, 15 May 1995.

2. **Scope.** This pamphlet applies to Headquarters (HQ), AMC and major subordinate commands (MSC) (including their subordinate installations and activities) and other activities reporting directly to HQ AMC.

3. **Objectives.** The objectives of this pamphlet and the APBI program are to--

a. Provide guidance for furnishing advance planning information to industry.

b. Facilitate and maintain an active and on-going dialogue between AMC and its current and potential contractors.

c. Foster a mutual understanding of the full spectrum of Army requirements (research and development (R&D), production, major items, secondary items/spares, maintenance, and other services) and contractor capabilities.

4. **Policies.** a. It is AMC policy to promote early and meaningful communication with industry during all phases of the acquisition planning process.

b. All MSCs and appropriate subordinate activities are responsible for conducting APBIs. APBIs are one of several effective and appropriate methods for communicating information to industry and soliciting industry feedback during the acquisition planning cycle. MSCs will use APBIs along with other appropriate communication methods described in this pamphlet to maximize AMC dialogue with the industrial community.

c. The AMC APBI program establishes three levels of briefings for industry to be conducted at various times during the acquisition planning process. These briefings provide information ranging from a broad overview of long-term efforts to a more focused description of near-term efforts and requirements as follows:

(1) **Level 1 APBI.** The level 1 APBI is a broad-based business briefing to be conducted annually by the MSC. Appropriate representatives from the U.S. Army Training and Doctrine Command (TRADOC), program executive officers (PEO)/program managers (PM), Research and Development Centers, and Corporate Laboratories are invited to participate in these APBIs to ensure that the latest planning information is being used. The level 1 briefing should provide industry with a comprehensive overview of the aggregate projected Army/PEO/MSC acquisition-related requirements and corresponding contracting opportunities extending from the current year out through 3 to 5 years prior to a solicitation. Level 1 APBIs will therefore address all of

the MSC-managed commodities for which there are acquisition opportunities planned to include R&D efforts, procurement of major end items, secondary items (components/pares), maintenance (overhaul/repairs), automation, and other services. In addition, one or two special topics of current interest should be addressed such as Total Army Quality, the Headquarters, Department of the Army (HQDA) and/or TRADOC perspective. At its option, AMC may annually announce up to two special topics to be presented at level 1 APBIs.

(2) **Level 2 APBI.** Level 2 APBIs are follow-on briefings to the level 1 APBI and are devoted to single areas of interest. These briefings provide more detailed, in-depth, and near-term information than presented at the level 1 briefing. Level 2 briefings are primarily technical in nature and are conducted, as appropriate, to focus on new technologies and acquisition opportunities in defined subject areas 12 to 24 months prior to a solicitation. Examples of level 2 topics include R&D programs, major end items such as ground vehicles, secondary items such as batteries, and services such as engineering studies. The conduct of level 2 briefings in conjunction with the level 1 briefing is encouraged.

(3) **Level 3 APBI.** The level 3 APBI is a presolicitation conference as described in the Federal Acquisition Regulation (FAR) 15.404 which addresses specific information about an upcoming Request for Proposal (RFP) and industry comments in response to the Draft RFP (DRFP) which is issued pursuant to Army FAR Supplement 15.405-90.

(a) A level 3 APBI shall be conducted, in conjunction with a DRFP, preceding the issuance of each new competitive RFP for which the resulting contract(s) are expected to exceed \$30,000,000 (including options and multiyear increments), except as follows:

- Defense Business Operating Fund (DBOF) solicitations.
- Solicitations for which a formal Acquisition Plan is not required by DFARS 207.103.
- Solicitations providing for less than full and open competition pursuant to FAR Subpart 6.3 (unless the number of firms eligible to compete is three or more).
- Solicitations for which the Acquisition Plan (AP) provides for omission of the level 3 APBI pursuant to paragraph (b) below.

In addition, level 3 briefings should be considered prior to release of solicitations for which resultant contracts are expected to exceed \$15,000,000 (including options and multiyear increments), when--

- The requirement is complex, unique, or unusual in procurement methodology.

- Competition is restricted but a number of subcontracting opportunities exist.

- A level 3 briefing could open up prime and subcontracting opportunities for small and small disadvantaged businesses.

- The requirement is an important part of a major new program, or the specification has not previously been reviewed by industry.

(b) APs providing for solicitations estimated to exceed \$30 million shall address the level 3 APBI. If no APBI is planned, the rationale for omission shall be included in the AP.

(c) The contracting officer shall conduct the briefing and ensure that all potential offerors are provided identical information.

(d) Early cross-functional coordination is essential to ensure that level 3 APBIs are addressed within acquisition plans when developing program milestones.

(e) Significant questions raised by industry relative to the DRFP and responses provided by the government will be documented and presented at the level 3 APBI. Government rationale for acceptance or rejection of a comment should be explained during these briefings. Care should be taken to avoid the release of any contractor-raised issues (and responses to them) when this would reveal proprietary information. The component legal office should be consulted prior to release of the government response.

(f) Planning for the level 3 briefing should begin early to allow sufficient time for issuance of the DRFP, review and comment by industry, and preparation of the government response to industry comment for presentation at the level 3 APBI. For maximum benefit to both industry and the government, industry will normally be allowed 45 days to respond to the DRFP. A timely written response will also be provided to each comment received from industry regarding the DRFP. Adequate time should be allowed between the conduct of the level 3 briefing and the release of the formal RFP (generally 1 to 6 months, depending on the complexity of the program) to resolve any outstanding contractor issues raised at the APBI.

(4) One-on-one sessions.

(a) Each MSC will offer industry at least one opportunity each year to schedule APBI-related one-on-one (single company) sessions with government scientists, engineers, and other technical/management personnel. The purpose of these sessions is to provide a forum for industry representatives to discuss or brief government personnel privately on their proprietary in-house efforts. This forum also enables the government to receive information about proprietary industry research efforts and technology advances which the government may not otherwise have access to. While, as a minimum, MSCs must annually provide industry with at least one opportunity to schedule these sessions, MSCs are encouraged to offer this opportunity more often. Although one-on-one sessions may also be held at other times, conducting these sessions in conjunction with an APBI has the advantage of allowing industry to clarify information presented at the briefing without disclosing proprietary or business confidential information to their competitors.

(b) All APBI invitees will be notified in advance of the conduct, purpose, and procedures for one-on-one sessions. Potential industry participants should also be requested to indicate the general nature of the topic or subject they intend to discuss. If space or other resource constraints limit the number of industry participants, a registration system should be used which provides for attendance on a first-come first-served basis. An example of such a notification is at appendix B.

(c) One-on-one sessions will always have more than one government representative in attendance and each such representative will be responsible for ensuring proper release of information. To ensure early involvement in the planning of an acquisition and the proper release of information, one government representative will be a member of the contracting office which is likely to be responsible for the conduct of a future procurement that may relate to the topic of the one-on-one session. Early advance coordination will be made with the legal office regarding proper conduct of government representatives to avoid the inadvertent release of proprietary or source selection information or the making of any expressed or implied commitments. Attendance by legal counsel at one-on-one sessions is required.

(d) To preclude giving one potential contractor an unfair competitive advantage in a future procurement, special care must be taken to ensure that if any information concerning a planned procurement is released by government personnel during a one-on-one session, this information is no more and no different than information provided to all attendees of the APBI. A written record of each one-on-one session will be maintained by the government representative responsible for conducting the session. If, during the course of the session, any new information concerning a planned procurement is

inadvertently released to a firm by the government, the same new information must be disseminated promptly to all APBI attendees and interested nonattendees.

(5) The APBI process is depicted over time in figure 1. Here, general needs are described in broad terms in a level 1 APBI conducted annually by the MSC 3 to 5 years in advance of the solicitation. At a level 2 APBI, conducted concurrently with the level 1 APBI or as required, the need is characterized in more depth. Finally, a specific need is presented at a level 3 APBI approximately 1 to 6 months before the solicitation is issued. The process, as it may take place in a given year, is depicted in figure 2.

d. Other appropriate communication methods should also be used as an integral part of the APBI process to communicate information to industry throughout the acquisition planning cycle. In using any of these methods, information should be released in a fair and equitable manner to ensure that all potential offerors have equal and open access to the same information. The information dissemination method used and the information to be released should be approved per FAR 5.404. The following describes appropriate methods, in addition to APBIs, for communicating acquisition planning information to industry:

(1) **Technical library.** A central location where potential offerors may review key releasable technical, program, and other acquisition planning documents, which could assist them in understanding the government's requirement. Some of the documents which may be available in a technical library include requirements documents such as the functional analysis and operations concepts; program descriptions; relevant historical information, and draft documents such as statements of work, test plans, and the DRFP.

(2) **Electronic bulletin board.** A data base of information, made accessible to industry through a standard modem, to provide potential offerors with items of interest concerning upcoming acquisition opportunities. Information may include Commerce Business Daily (CBD) announcement information, long-range acquisition information, a listing of the documents available for industry review in technical libraries, and APBI information to include descriptive details, agendas, schedules, registration material, and instructions on obtaining APBI proceedings.

(3) **Request for information.** An announcement in the CBD and/or letter to individual prospective offerors which outlines a government need and requests industry input regarding technology availability and risk, alternative approaches, cost drivers, and how the government can satisfy the stated need.

(4) **Draft Request for Proposal.** A formal release of a projected request for proposal or selected portions thereof in draft format to enhance industry's understanding of the requirement and to obtain industry comment regarding overly restrictive or burdensome requirements, cost drivers, and potential risks prior to release of the final RFP document (see AFARS 15.405-90).

5. **Procedures.** a. Multidisciplinary planning.

(1) A successful APBI is the product of a multidisciplinary effort. It is recommended that the following activities participate in the planning and conduct of APBIs:

- o Commanders and Directors
- o Program Executive Officers/Program Managers
- o Procurement/Contracting Officers
- o Technical and Industrial Liaison Officer
- o Competition Advocate
- o Ombudsman
- o Scientific and Technical Information (STINFO) Manager
- o Legal Counsel
- o Security Manager
- o Public Affairs
- o Small and Disadvantaged Business Utilization Specialist

(2) Although separate APBIs are not required for small and small disadvantaged businesses, it must be recognized that there is generally unique information that would help such businesses. Therefore, the Small and Disadvantaged Business Utilization Specialist will not only be provided an opportunity to participate in the planning of APBIs, but also to distribute separate handouts, and to provide assistance to small and small disadvantaged business participants in the APBI.

b. Advance notice. In order to provide maximum publicity for APBIs, sponsors will, as a minimum, announce them in the CBD. The CBD shall also be used to announce that advance planning information is being presented whenever any other type of conference is being planned wherein such information will be released. Announcements in appropriate scientific, technical, and trade journals as well as media releases are also recommended. Notices should include details on the availability of written information, particularly for the benefit of nonattendees. Mechanisms for providing information include use of the Defense Technical Information Center (DTIC), use of Electronic Bulletin Boards, distribution to the Technical and Industrial Liaison Offices (TILO), and inviting requestors to provide self-addressed envelopes.

c. Clearances. The APBI sponsor is responsible for following prescribed procedures to confirm clearance and the need-to-know of personnel participating in APBIs, issuing invitations, ensuring security of the briefing site, and following the administrative procedures established by Department of Defense (DOD) Directive 5200.12, Army Regulation (AR) 380-5, and AR 70-35. Sponsors will ensure that any classified information is released through existing security channels per DOD Industrial Security Regulation DOD Directive 5200.22R. Specific and early attention should be given to releasability of information to foreign nationals. Attendance by foreign nationals at APBIs is governed by AR 70-35, AR 380-10, AR 380-66, and DOD Directive 5230.25.

d. Alternative forums for level 1 and level 2 APBIs. Substantial participation in government or private forums such as the annual ammunition conference or association symposia may satisfy the requirement for conducting a level 1 or level 2 APBI where the information presented relates to advance acquisition planning and projected business opportunities. Early coordination with the component legal office should be made to ensure that the rules and restrictions applicable to co-sponsorship of conferences (DOD Directive 5410.20 and AR 360-61) are adhered to.

e. Conference proceedings. To ensure fair and equal access to acquisition planning information, APBI sponsors will provide conference proceedings to both attendees and interested nonattendees as follows:

(1) For level 1 and level 2 APBIs:

(a) **At the briefing.** Handouts of descriptive material will be offered to all conference attendees. Handout material may include speakers' vu-graphs, project and hardware descriptions, point of contact (POC) (including simplified organization charts), and lists of additional references. Speakers should be encouraged to include explanatory text along with their vu-graphs. If the material is classified, unclassified handouts should be substituted for the classified information. An up-to-date Technical Objective Document (TOD) (see AR 70-35) or similar document which depicts the sponsor's mission, investment strategy, and major programs should always be made available to the attendees.



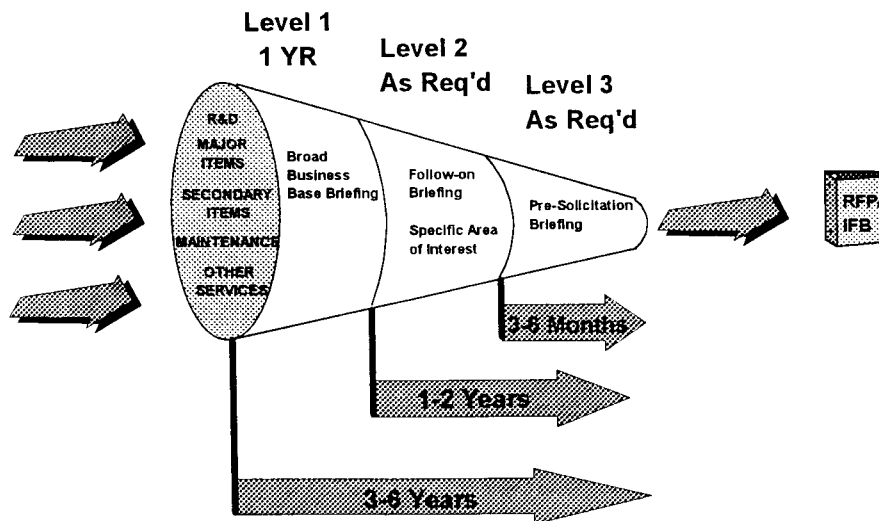


Figure 1. Three-Level APBI Timeline.

## APBI "LIFECYCLE" IN A GIVEN YEAR...

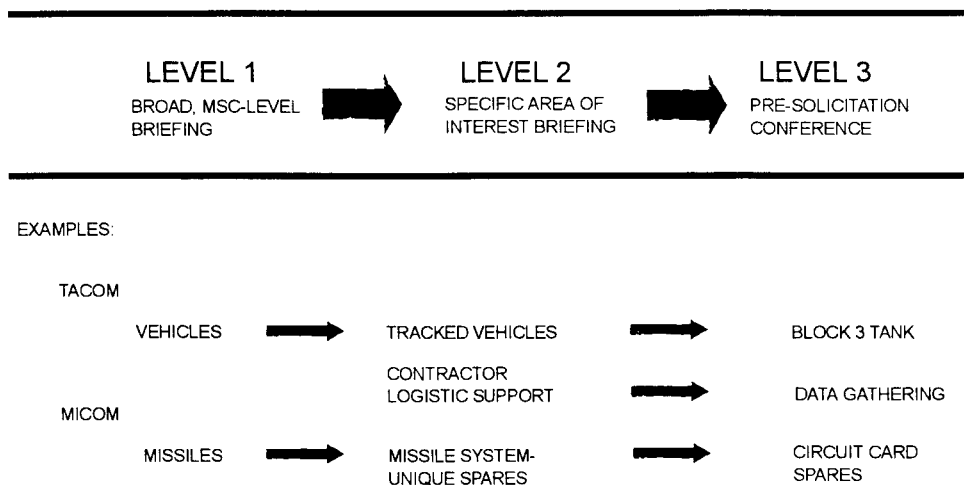


Figure 2. Presentations conducted in a single year.

(b) **Published proceedings.** Following the APBI, the proceedings will be bound into an appropriate document for publication. Sponsors will ensure that as a minimum, all handout material providing information relative to future technology needs/acquisition opportunities and related information developed during the conduct of the APBI is included in the proceedings document. The proceedings document should be submitted to Defense Technical Information Center, 8725 John J. Klingman Road, Suite 0944, Fort Belvoir, VA 22060-6218, to permit subsequent distribution to all interested parties. The Contributor's Handbook, available from DTIC, provides procedural guidance on DTIC submissions.

(2) For level 3 APBIs, a record of the conference will be made and promptly provided to all conference attendees and any other potential sources to whom the RFP will be provided.

f. Administrative support. Defense-oriented professional societies and trade associations may provide administrative support to APBIs under the control of the sponsoring agency.

g. Guidelines of release of acquisition-related information.

(1) The following factors are critical to the release of any acquisition planning information:

(a) Government and industry representatives must comply with all laws and regulations governing the release of acquisition related information. Special care must be exercised to preclude the inadvertent verbal or written release of information which is classified, proprietary, source selection, Planning, Programming, Budgeting, and Execution System (PPBES) specific, or otherwise restricted (See FAR 3.104 and Release of Acquisition Related Information (55 FR 28614)).

(b) The advance acquisition information to be released should be approved pursuant to FAR 5.404, by the official delegated authority to approve such information.

(c) When release has been approved, the government must provide all known potential offerors with equal access to releasable acquisition information so as not to give one potential offeror a competitive advantage over another.

(2) To preclude the appearance of any commitments on the part of the government, the sponsor will announce at each APBI that the data presented are the best information available at the time of the briefing; that nothing provided during the briefing is a government commitment or obligation; that

specifications, requirements, and funding may be adjusted, and that circumstances may dictate a change to acquisition strategy.

(3) Some of the information which may be released during an APBI includes the number of units, unit prices and names of suppliers for previously acquired items; releasable information related to acquisition strategies; and estimates of unclassified long-range acquisition requirements by categories or ranges rather than specific values.

(4) Consistent with Army policy to provide current technical information to industry, nothing in this circular is to be interpreted as precluding other appropriate contacts with industry representatives. For example, industry may be permitted to meet at any time with government scientists and engineers to discuss areas of common scientific and technical interest, consistent with regulatory and legal restrictions regarding the dissemination of acquisition-related information.

**6. Responsibilities.** a. All MSCs will--

(1) Implement the APBI program in their commands or activities.

(2) Designate primary POCs for the program.

(3) Provide information to HQ AMC on level 1 briefing(s) within 90 days after the briefing. Information may also be submitted for level 2 and level 3 briefings to highlight lessons learned. This information is to be submitted in the format at appendix A and will be used to capture and enable the sharing of lessons learned throughout AMC.

(4) Annually, submit a 3-year schedule of planned level 1 and level 2 APBIs to HQ AMC no later than 31 January of each calendar year to avoid schedule conflicts and to assist in AMC's publication of an annual consolidated briefing schedule for both industry and the government. Projections of level 3 APBIs should also be included in the schedule whenever feasible. Updates to the schedule will be submitted by 31 July of each year. The 3-year schedule will include the information listed at appendix A. It is understood that the second and third years' schedule is subject to change.

(5) Schedules, information on previous year(s)' briefings, and names of primary POCs will be submitted to: Commander, U.S. Army Materiel Command, ATTN: AMCRDA-AI-TILO, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001.

b. HQ AMC, Deputy Chief of Staff for Acquisition will--

(1) Exercise overall staff supervision, management, and administration of the AMC APBI program.

(2) Establish policies and procedures.

(3) Provide interface with HQ AMC and the MSCs.

(4) Issue supplementary instructions, as necessary.

(5) Monitor compliance.

(6) The POC for this pamphlet is the AMC APBI coordinator, (AMCRDA-AI-TILO), who may be reached at DSN 767-8948 or commercial (703) 617-8948.

7. **Explanation of abbreviations and terms.** Abbreviations and special terms used in this pamphlet are explained in the glossary.

8. **References.**

a. Army Regulation 70-35, Research, Development, and Acquisition Information for Industry Programs.

b. Army Regulation 380-5, Department of the Army Information Security Program.

c. Army Regulation 380-10, Department of the Army Policy for Disclosure of Information, Visits, and Accreditation of Foreign Nationals.

d. DOD 5500.7-R, Joint Ethics Regulation (JER), (Standards of Conduct for Employees of the Executive Branch of Government).

e. Federal Acquisition Regulation 5.404 and Supplements (Release of long-range acquisition estimates).

f. Federal Acquisition Regulation 15.404 and Supplements (Presolicitation notices and conferences).

g. Federal Acquisition Regulation 15.405 and Supplements (Solicitations for information or planning purposes).

h. Federal Acquisition Regulation 3.104 and Defense FAR Supplement 203.104 (Procurement Integrity Provisions of the Office of Federal Procurement Policy Act (41 United States Code 423)).

i. DOD Directive 5200.12, Policy on Conduct of Meetings Involving Access to Classified Information.

j. DOD Regulation 5220.22R, DOD Industrial Security Regulation.

The proponent of this pamphlet is the United States Army Materiel Command. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Commander, HQ AMC, ATTN: AMCRDA-AI-TILO, 5001 Eisenhower Avenue, Alexandria, VA 22333-0001.

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APPENDIX A

FORMAT FOR SUMMARIZING INFORMATION ON APBIs

1. APBI sponsors will provide after-action information in the following format for each level 1 APBI conducted:

- a. TITLE OR THEME OF APBI (if appropriate).
- b. APBI DATES.
- c. APBI POC (name, office symbol, and telephone number).
- d. LOCATION.
- e. NUMBER OF ATTENDEES - Industry, government, other--describe.
- f. ADMINISTRATIVE SUPPORT PROVIDER - Government, American Defense Preparedness Association (ADPA), other--describe.
- g. COMMENTS/HIGHLIGHTS.

The following questions may be used as a guide in completing this section:

- o What was industry reaction to the APBI? (Positive and negative)
- o Was the APBI a success from a government standpoint?
  - oo Presentation:
  - oo Format:
  - oo Handouts:
  - oo Participation:
  - oo Procedures:
  - oo One-on-one sessions (if conducted in conjunction with the level 1 APBI):
- o What will you do differently next time?
- o Do you want anything changed in the APBI pamphlet? (Do you need additional guidance or assistance?)

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2. APBI sponsors will provide scheduling information in the following format for each APBI projected over a 3-year period:

DATE(S):

SPONSOR:

TITLE/THEME:

LEVEL (i.e., 1, 2, or 3):

LOCATION:

POINT OF CONTACT:

TELEPHONE (Commercial):



APPENDIX B

EXAMPLE OF NOTIFICATION OF ONE-ON-ONE SESSIONS

(The Notification may be included with the APBI brochure mailed out to all APBI invitees. In addition, it could be distributed during the APBI to enable industry representatives to schedule one-on-ones at a later date.)

REQUEST FOR  
INDUSTRY BRIEFING TO GOVERNMENT

An opportunity for a limited number of industry representatives to provide one-on-one briefings to interested government employees is available on (date). The purpose of these sessions is to provide a forum for industry representatives to brief government personnel privately on their proprietary efforts. These briefings will be conducted in a closed room, so that proprietary information may be presented. An overhead projector will be available. Each company briefing will be limited to (number of minutes). To be considered for a presentation, complete this form and return it to (name, address, and POC for APBI sponsor). All requests must be received by (date) and will be considered in the order received.

Name of Company:

Address:

Point of contact:

Phone number:

FAX number:

General nature of topics/questions for discussion:

Suggested government participants:

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DELETE

## GLOSSARY

### Section I. Abbreviations

ADPA	American Defense Preparedness Association
AFARS	Army Federal Acquisition Regulation
AMC	U.S. Army Materiel Command
AP	Acquisition Plan
APBI	Advance Planning Briefing for Industry
AR	Army Regulation
CBD	Commerce Business Daily
DBOF	Defense Business Operating Fund
DFARS	DOD Federal Acquisition Regulation Supplement
DOD	Department of Defense
DRFP	Draft Request for Proposal
DTIC	Defense Technical Information Center
FAR	Federal Acquisition Regulation
HQ	Headquarters
HQDA	Headquarters, Department of the Army
JER	Joint Ethics Regulation
MSC	Major Subordinate Command
PEO	Program Executive Officer
PM	Program Manager
POC	Point of Contact
PPBES	Planning, Programming, Budgeting, and Execution System
R&D	Research and Development
RFP	Request for Proposal
STINFO	Scientific and Technical Information
TOD	Technical Objective Document
TRADOC	U.S. Army Training and Doctrine Command

### Section II. Terms

**Advance Planning Briefing for Industry (APBI)**--A formal presentation to industry and appropriately cleared representatives of Canada, United Kingdom, and other eligible foreign government or nongovernment industrial, scientific, technical, and educational organizations. The briefing describes government plans and programs related to future military requirements and offers information relating to advance acquisition planning and future business opportunities.

**Level 1 APBI**--Broad mission oriented briefing conducted annually by each MSC. Addresses a command's broad business base projections and contractor acquisition opportunities 3 to 5 years prior to a solicitation.

**Level 2 APBI**--Specific area of interest briefing conducted independently or in conjunction with a level 1 briefing. Focuses on new technologies and acquisition opportunities in defined subject areas 12 to 24 months prior to a solicitation.

**Level 3 APBI**--Presolicitation conference (FAR 15.404). Addresses specific information about a forthcoming RFP and industry comments made in response to the draft RFP.